

# Governor's Office of Homeland Security



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## FY08 Homeland Security Grant Program

### *California Supplement to Federal Program Guidance and Application Kit*

**May 7, 2008**

# **STATE OF CALIFORNIA**

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# Table of Contents

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	Page
<b>State of California- Office of Homeland Security</b>	<b>2</b>
<b>Foreward- Director's Message</b>	<b>4</b>
<b>Section One – Overview</b>	<b>5</b>
Federal Program Guidance and Updates	5
Purpose of the California Supplement	5
Eligible Subgrantees	5
Approval Authority Body (SHSP only)	5
Subgrantee Allocations	6
Tribal Governments and Native American Allocation	6
Public and Private Organizations	6
Management and Administrative Costs	6
State Contact Information	6
<b>Section 2 – Subgrant Timeline</b>	<b>8</b>
Timeline Chart	8
<b>Section 3 – Key Federal and State Changes &amp; Initiatives</b>	<b>9</b>
Key Federal Changes	9
Key State Changes and Initiatives	10
<b>Section 4 – Subgrant Applications</b>	<b>13</b>
State Application Components	13
Regional Approach	13
Applications Due	14
Application Approval	14
Governing Body Resolution	14
Grant Assurances	14
State Agencies	15
<b>Section 5 – Post Subgrant Award</b>	<b>16</b>
Post Award Modifications	16
Subgrantee Performance Reports	16
Monitoring Subgrantee Performance	16
Suspension or Termination	17
Closeout	17
Advances and Interest Earned on Advances	18
Payment Request Process	18
Non-G&T Developed Training Courses	18
Authorized Equipment List	18
<b>Appendix</b>	<b>19</b>
Governing Body Resolution – OA and UASI	20
Governing Body Resolution Instructions	22
Signature Authority – State Agency	23
State Agency Project Description Template	24

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## Foreward: Director's Message

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The Governor's Office of Homeland Security (OHS) has had another successful year working with our partners in enhancing the four mission areas of the National Preparedness Goals of prevent, protect, respond, and recover. To continue that progress, we are releasing the FY2008 Homeland Security Grant Program (HSGP) guidance. As you review the guide, you will see that there have been several changes this year.

FY2008 HSGP will focus on three objectives as its highest priorities:

1. Measuring progress in achieving the National Preparedness Guidelines
2. Strengthening improvised explosive device (IED) attack deterrence, prevention, detection and protection capabilities
3. Strengthening preparedness planning

At least 25% of HSGP (State Homeland Security Program [SHSP], Urban Area Security Initiative [UASI], Metropolitan Medical Response System [MMRS], and Citizen Corps Program [CCP]) funds must be collectively allocated to objectives two and three as required by the federal grant guidelines.

In past years, the federal Department of Homeland Security has consolidated the administration of programs into one application package. They have once again consolidated the grant programs, however, because of changes in federal law (Implementing Recommendations of the 9/11 Commission Act of 2007 and FY2008 Consolidated Appropriations Act, FY2008 HSGP) there was not a separate budget line-item for the Law Enforcement Terrorism Prevention Program (LETPP). The LETPP grants are now funded as a percentage of the SHSP and UASI allocations. We are required to ensure that at least 25 percent of the SHSP and UASI funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities.

Of course, our grant staff is available to assist you with any questions. They are here to serve you, our customer. I also want to take this opportunity to thank them for all their hard work and dedication.

While the federal grant rules, guidance and requirements require a lot of effort by all of us, I especially appreciate all the work that each of you do to make sure we meet these requirements and wisely invest these important funds to better prepare California and the nation. I am amazed everyday by the hard work and dedication by each of you across this great State.

We look forward to another successful year of working with you to better prepare California and make our communities safer.

**MATTHEW R. BETTENHAUSEN**

Director

Governor's Office of Homeland Security

## Section 1 - Overview

<b>Federal Program Guidance and Updates</b>	<p>The U.S. Department of Homeland Security (US DHS) published the <i>FY 2008 Homeland Security Grant Program, Program Guidance and Application Kit</i> on February 1, 2008.</p> <p>The <i>Guidance and Application Kit</i> may be obtained at: <a href="http://www.ohs.ca.gov/FY2008_HSGP.html">http://www.ohs.ca.gov/FY2008_HSGP.html</a></p>
<b>Information Bulletins</b>	<p>US DHS also issues information bulletins that provide grant updates, information, clarification, and requirements throughout the life of the grant.</p> <p>Information Bulletins: <a href="http://www.ojp.usdoj.gov/odp/docs/bulletins.htm">http://www.ojp.usdoj.gov/odp/docs/bulletins.htm</a></p>
<b>Purpose of the California Supplement</b>	<p>The <i>California Supplement</i> to the Federal Program Guidance is intended to complement, rather than replace, the Guidance published by the US DHS, Office of Grants and Training. The <i>Supplement</i> will emphasize differences between the FY 07 and FY 08 Homeland Security Grant Programs, and will include additional California policies and requirements applicable to FY 08 HSGP.</p>
<b>Eligible Subgrantees</b>	<p>Eligible subgrant recipients, referred to as subgrantees, differ for each program. Generally, eligible subgrant recipients for FY 08:</p> <ul style="list-style-type: none"><li>- <b>Operational Areas (OA)</b><ul style="list-style-type: none"><li>- includes Metropolitan Medical Response (MMRS)</li><li>- Native American tribes</li></ul></li><li>- <b>Urban Area Security Initiative Jurisdictions (UASI)</b></li><li>- <b>State Agencies (SA)</b></li></ul>
<b>Approval Authority Body (SHSP only)</b>	<p>Operational Areas must appoint an Anti-Terrorism Approval Body (Approval Authority) to have final approval of the OA's application for SHSP funds. The Approval Authority shall consist of the following representatives, and additional voting members may be added by a simple majority vote of the following standing members:</p> <ul style="list-style-type: none"><li>• County Public Health Officer or designee responsible for Emergency Medical Services</li><li>• County Fire Chief or Chief of Fire Authority</li><li>• Municipal Fire Chief (selected by the Operational Area Fire Chiefs)</li><li>• County Sheriff</li><li>• Chief of Police (selected by the Operational Area Police Chiefs)</li></ul> <p>Each member of the Approval Authority must provide written agreement with the OA's application for SHSP funds.</p> <p><b>NOTE:</b> A list of the Approval Authority Body members, and associated contact information, must be submitted with the FY08 HSGP application.</p>

<b>Subgrantee Allocations</b>	Subsequent to US DHS's announcement of funding to California on approximately <b>July 28, 2008</b> , subgrantee allocation information will be made available via an OHS Grant Management Memorandum (GMM)
<b>Tribal Governments</b>	<b>NOTE:</b> All subgrantees are encouraged to coordinate with Tribal Governments to ensure that Tribal needs are considered in the subgrantees' applications.
<b>Native American Allocation</b>	Federal FY08 grant guidance requires OHS to designate a portion of the SHSGP funds to Native American tribes in California. In order to implement this requirement, OHS will be awarding California tribes a share of this funding equivalent to a 59 <sup>th</sup> Operational Area on a base plus population basis. In order to submit an application for funding, California's 108 tribes shall develop a coordinating group that represents all or substantially all of the tribes. The coordinating group shall have 180 days to submit to OHS its membership, organizational structure and plan for developing coordinated funding priorities among all or substantially all of the California tribes.
<b>Public and Private Organizations</b>	<b>NOTE:</b> Subgrantees may contract with any other public or private organizations to perform eligible activities on approved projects.
<b>Management and Administrative Costs</b>	The subgrantee Management and Administrative (M&A) allowance is a maximum of <b>3%</b> of the subgrant award on all FY 08 HSGP programs. (The 3% cap was set by federal law.)
<b>State Contact Information</b>	<p>All subgrantee application materials, related questions, comments and correspondence should be directed to the address below.</p> <p>Governor's Office of Homeland Security  ATTN: Grants Management Division  State Capitol  Sacramento, CA 95814-4900  (916) 324-8908  (916) 324-5902 Fax</p> <p>OHS Regional Representatives may be located on the regional map at:  <a href="http://www.ohs.ca.gov/pdf/OHS_Regional_Map.pdf">http://www.ohs.ca.gov/pdf/OHS_Regional_Map.pdf</a></p>
<b>Important Note:</b>	<b>HAND DELIVERED APPLICATIONS WILL NOT BE ACCEPTED</b>
<b>OHS website</b>	<b>Governor's Office of Homeland Security Website</b> <a href="http://www.ohs.ca.gov/">http://www.ohs.ca.gov/</a>

**Access to  
Secure portal**

**Office for Domestic Preparedness Secure Portal**

<https://odp.esportals.com/index.cfm>

To obtain access to the ODP Secure Portal, please contact BJ Bjornson, Secure Portal Administrator, Office of Homeland Security, Training and Exercise Program (T&E)

Bj.Bjornson@ohs.ca.gov Phone (916) 826-4488

**Grants  
Reporting  
Tool**

To obtain access to the Grants Reporting Tool (GRT), please click on the link below and follow the instructions that read, "If you need to register for an account please click here."

For additional assistance in the GRT, please contact Inam Ali (916-324-6054 or Inam.Ali@ohs.ca.gov) or Sabra Bowen (916-324-6779 or Sabra.bowen@ohs.ca.gov)

**Federal Emergency Management Agency (FEMA),  
Grant Reporting Tool (GRT)**

<https://www.reporting.odp.dhs.gov>

## Section 2 - Subgrant Timelines

<b>FY 08 HSGP Subgrantee Timeline</b>	US DHS Announcement of FY 08 HSGP	February 1, 2008
	SAA application due	May 1, 2008
	FY 08 HSGP California Supplement release	May 5, 2008
	Subgrantee application workshops	June, 2008
	US DHS Award	July 28, 2008*
	OHS release of Suballocations	August 1, 2008*
	<b>Subgrantee applications due to OHS</b>	<b>August 15, 2008*</b>
	<b>Subgrantee awards (45 days from US DHS award)</b>	<b>September 10, 2008*</b>
	Subgrantee performance period begins	September 10, 2008*
	<b>Subgrantee performance period ends</b>	<b>March 31, 2011</b>
	<b>Final requests for reimbursement due</b>	<b>April 10, 2011</b>
	SAA Performance Period Ends	June 30, 2011

**\* Date approximate depending on US DHS award date**



## Section 3 – Key Federal and State Changes and Initiatives

### Key Federal Changes and Initiatives

#### **FEDERAL**

##### **Overarching HSGP Priorities**

Funding priorities for this year continue and further narrow the focus on risk-based funding and capability-based planning that the Department of Homeland Security (DHS) began three years ago. FY 2008 HSGP will focus on three objectives as its highest priorities. These three objectives are:

1. Measuring progress in achieving the National Preparedness Guidelines
2. Strengthening improvised explosive device (IED) attack deterrence, prevention, and protection capabilities
3. Strengthening preparedness planning

##### **Post-award Analysis**

To ensure that the HSGP funding is allocated to address the nation's highest risks and support the capability-based planning process, the Department will conduct a post-award analysis to identify trends that can better inform and guide future policy decisions supporting national preparedness. Grantees may be asked to cooperate in FEMA's post-award analysis.

##### **Potential for Future Match Requirements**

Grantees are not required to engage in cash or in-kind match for FY 2008 HSGP funds. However, there is the potential for future grant programs to be impacted by cash match requirements as early as FY 2009. Accordingly, grantees should anticipate and plan for future homeland security programs to require cash or in-kind matches at cost-share levels comparable to other FEMA-administered grant programs.

**STATE**

**Terrorism Liaison Officer (TLO)** - In an effort to continue to build towards a comprehensive, integrated prevention network of information sharing, all recipients of FY 08 Homeland Security Grant funds will be required to designate a trained TLO within their organization. **An initial roster must be submitted at the time of application. Subgrantees must require documentation for their subrecipients prior to the subaward of Homeland Security Grant funds.**

To request a waiver of this requirement, please contact OHS Information Sharing Division's, Deputy Director, William Hipsley at [Bill.Hipsley@ohs.ca.gov](mailto:Bill.Hipsley@ohs.ca.gov).

**CAL JRIES** - The State Terrorism Threat Assessment Center (STTAC) and Regional Terrorism Threat Assessment Centers (RTTAC) are all linked by a common information sharing system, the California Joint Regional Information Exchange System (CAL JRIES), which provides data sharing capabilities throughout the state. The JRIES is an integral component in the information sharing network throughout the state. **Applicants shall document CAL JRIES access or an application for access to CAL JRIES in their grant application to be eligible for funding. Access or an application for access will be confirmed with the STTAC prior to final application approval.**

**Native American Allocation** - Federal FY08 grant guidance requires OHS to designate a portion of the SHSGP funds to Native American tribes in California. In order to implement this requirement, OHS will be awarding California tribes a share of this funding equivalent to a 59<sup>th</sup> Operational Area on a base plus population basis. In order to submit an application for funding, California's 108 tribes shall develop a coordinating group that represents all or substantially all of the tribes. The coordinating group shall have 180 days to submit to OHS its membership, organizational structure and plan for developing coordinated funding priorities among all or substantially all of the California tribes.

**Tactical Interoperable Communications Plans (TICP) and CalSIEC**

**Participation** - In FY07 participation in the California Statewide Interoperability Executive Committee (CalSIEC) and the development of a Tactical Interoperable Communications plans was strongly suggested. As a condition of FY 08 HSGP funding, subgrantees shall show completion or demonstrate progress (to include a completion timeline) for the development of a TICP. Technical assistance in developing a TICP is available. TICPs may be completed regionally or at the Operational Area level. Subgrantees are again encouraged to participate in CalSIEC and the CalSIEC planning areas.

**Failure to Submit Required Reports** - Many subgrantees fail to fulfill the periodic reporting requirements as required by the grant. Subgrantees who miss a single reporting deadline will receive a letter addressed to their Board of Supervisors informing them of the failure to report. County Operational Areas and Tribal Native Americans who fail to report twice in a row will have subsequent awards reduced by ten percent (10%) until timely reporting is reestablished. UASIs shall have a "hold" placed on any future reimbursements.

**Key State Changes  
and Initiatives  
(cont)**

**Corrective Action Plans** – The Monitoring and Audits Unit (MAU) is actively conducting monitoring visits, both desk review and on-site, among subgrantees. Many of these jurisdictions receive “findings” which necessitate a Corrective Action Plan (CAP) on their part. Those subgrantees who fail to submit a CAP as required shall have a “hold” placed on any future reimbursements until the ‘finding’ is resolved.

**“On Behalf Of”** – Consistent with the federal guidelines, the OHS may, in conjunction with local approval authorities, designate funds “on behalf of” local entities that choose to decline or fail to utilize their homeland security award in a timely manner.

**CONOPS** - State Terrorism Threat Assessment System (STTAS) grant funding is currently provided by the US Department of Homeland Security through the Governor's Office of Homeland Security (OHS) -- Grants Management Division. The State Terrorism Threat Assessment Center (STTAC), Regional Terrorism Threat Assessment Center (RTTAC), and Intelligence Nodes receiving Homeland Security grant funding through the OHS are required to comply with the California STTAC Concept of Operations. Noncompliance with the California STTAC Concept of Operations may result in the loss of eligibility for future grant funds or the rescission of funds previously allocated.

**Investment Justification Planning Conference** – OHS will conduct its annual Investment Justification Planning Conference to receive statewide input across all disciplines. The conference will be held **September 2-3, 2008**. This conference is an eligible planning activity. Please be sure to include the cost to attend this conference in your FY 08 HSGP application.

**State Initiative Funding** – In FY 08 HSGP, the OHS shall retain twenty percent (20%) of the SHSP, UASI funding awarded to California for state initiatives. The State will pass 100% of the MMRS and CCP funding to eligible subgrantees.

**10% Training Requirement - Not less than ten percent (10%) of all subgrantee applications must be allocated to Grants and Training (G&T) approved Training activities.** However, training on equipment will be allowed as part of the 10%. Subgrantees will put this in writing and submit to OHS Program Representative. This does not apply for Exercises. Generally, there are not state restrictions or preferences on how subgrantees allocate funds across eligible program activities.

**Exercises** - Subgrantees must conduct threat- and performance-based exercises in accordance with G&T's Homeland Security Exercise and Evaluation Program (HSEEP) manuals. Once an exercise paid for with grant funds has been scheduled, subgrantees **must** notify the Office of Homeland Security, Training and Exercise Program (T&E) of the exercise date, time, location, and point of contact information. T&E will maintain a web-based master schedule of all exercises occurring throughout the state, to increase communication and coordination of all exercises.

<p><b>Key State Changes and Initiatives</b> (cont) <b>Important Note:</b></p>	<p>Exercise After Action Reports (AAR) and Improvement Plans (IP) <b>must be provided to G&amp;T within 60 days</b> following the completion of each exercise. Delivery to G&amp;T is accomplished by posting the AAR and IP in the appropriate portion of the G&amp;T secure portal. <b>Exercise costs will not be reimbursed until an after action report has been posted on the secure portal.</b></p>
<p><b>Golden Guardian Costs</b></p>	<p><b>Subgrantees scheduled to participate in Golden Guardian (GG) exercise activities should program FY 08 HSGP funds into their subgrant application. OHS program representatives will be checking applications from subgrantees scheduled to participate GG activities within the FY 08 HSGP grant performance period for adequate exercise funding.</b> T&amp;E is the subgrantee's point of contact for exercise related issues and questions. Subgrantees may contact the T&amp;E at (916) 826-4488, or by e-mail to <a href="mailto:Bj.Bjornson@ohs.ca.gov">Bj.Bjornson@ohs.ca.gov</a>.</p>
<p><b>CAL METRICS</b></p>	<p>Applicants are strongly encouraged to functionally integrate their efforts by participating in the California Metrics Project, a Statewide standardized resource typing and capabilities inventory and assessment effort. The CA Metrics Project, in collaboration with Federally coordinated National efforts, seeks to develop a systematic method for identifying gaps in prevention, planning and emergency response capabilities in order to more effectively allocate economic and human resources in support of achieving preparedness goals. The Metrics Project has associated eligible planning costs. Subgrantees should coordinate with their Operational Area, Urban Area or State agency to ensure the costs of participating in the project are reflected in their respective applications. For more information about the CA Metrics Project, contact the California Governor's Office of Homeland Security.</p>
<p><b>PERSONNEL</b></p>	<p><b>Personnel Costs</b> – In FY 08 HSGP the fifteen percent (15%) cap on personnel costs is not applicable to the Metropolitan Medical Response System (MMRS) or Citizen Corps Program (CCP) funding.</p> <p><b>Grant Management Capabilities</b> – Applicants will be required to document their grant management capabilities and include this information with their application.</p> <p><b>Performance Bond</b> – Many subgrantees were unable to procure large equipment items due to problems with vendor delivery scheduled to occur after the federal reporting period had expired. To assist with this issue, US DHS allowed purchase of a “performance bond” wherein subgrantees procured the item(s) in question, paid the money up front, and purchased a performance bond to ensure delivery of the item after the grant period had expired. Subgrantees <b>must</b> obtain a performance bond for any equipment item over \$250,000 or any vehicle (aircraft or watercraft) financed with homeland security dollars.</p> <p><b>Financial Management Forms Workbook</b> – an electronic copy of the OHS Financial Management Forms Workbook V 1.08 must be submitted to the ODP Secure Portal via email. Documents requiring an original signature will need to be sent in hardcopy.</p> <p><b>Late or Incomplete Applications</b> - Late or incomplete applications will be reviewed and/or denied at the sole discretion of the OHS.</p>

## Section 4- Subgrant Applications

### State Required Application Components

A completed application will include all of the following components.

- **Completed OHS Financial Management Forms Workbook V 1.08**
  - Submitted electronically via email on the ODP Secure Portal

Application Cover Sheet

Grant Management Roster

Project Ledger

Project Description

Project – A thru T

- Investment Justification – Goals and Objectives
- Project Description
- Need for Project
- Status of Project

Equipment Inventory Ledger

Training Roster with course approved numbers

Exercise Roster

Terrorism Liaison Officer (TLO) Roster

CAL JRIES Access

Authorized Agent form with appropriate signatures

- **Governing Body Resolution – Mailed**

### State Agency Project Narrative

- **Project Narrative – (State Agency Only) – Mailed**
  - Template available in Appendix A - Forms
- **Signature Authority - Mailed**
- **Signed Original Grant Assurances – Mailed**
  - Available only in PDF format on the OHS website

The **Financial Management Forms Workbook V 1.08** can be found at  
[http://www.ohs.ca.gov/FY2008\\_HSGP.html](http://www.ohs.ca.gov/FY2008_HSGP.html)

**NOTE: Subgrant awards will not be made until all required application components have been approved by the state.**

### Regional Approach

Subgrantees must take a regional approach when determining the best use of FY 08 HSGP funds. Subgrantees must consider the needs of local units of government and applicable volunteer organizations in the projects and activities included in their FY 08 HSGP application.

**Applications Due** Completed financial management forms workbooks **must submitted electronically to the ODP secure portal**. Place workbook in the folder named, "FY08 HSGP Application". Detailed instructions on the electronic submittal process will be issued in a Governor's Office of Homeland Security (OHS) Grant Management Memo prior to application due date. Project description narratives and original grant assurances must be mailed to the address below.

All application materials are due no later than **Friday, August 22, 2008\***. Only applications postmarked by the due date will be accepted. Additional information will be requested or accepted from subgrantees at the sole discretion of OHS. Applications lost in transit are the responsibility of the applicant and will not be considered for funding.

**The mailing address for all applications is:**

Governor's Office of Homeland Security  
ATTN: Grant Management Division  
State Capitol  
Sacramento, CA 95814

ODP Secure Portal

<https://odp.esportals.com/index.cfm>

**Application Approval** The subgrantee will receive written notice of the state's approval of the subgrant application no later than 45 days after the federal grant award.

**Governing Body Resolution** The *Governing Body Resolution* appoints agents authorized to execute any actions necessary for each application and subgrant.

**NOTE:** All applicants will be required to submit a new Governing Body Resolution with their FY 08 HSGP application. A sample Resolution can be found in Appendix A- Forms.

**Grant Assurances** The *Grant Assurances* form lists the requirements to which the subgrantees will be held accountable.

**NOTE:** All applicants will be required to submit new Grant Assurances with their FY 08 HSGP application. The required Grant Assurances form can be found only in PDF format on the OHS website and available no later than 14 days after the Federal award.

**Important note:** **Self created grant assurances forms will not be accepted.**

**\* Date approximate depending on US DHS award date**

## State Agencies

<b>Which State organizations may apply?</b>	<p>Any state agency, department, commission, board, etc., may apply for FY 2008 Homeland Security Grant Program (HSGP 08) funding, as long as the organization:</p> <ul style="list-style-type: none"><li>• Has, or can obtain, appropriate state Department of Finance budget authority for awarded funds; and,</li><li>• Will comply with all grant requirements contained in the federal and state grant guidance documents, and in the Grant Assurances form.</li></ul>
<b>Who may sign the Application for a State Agency?</b>	<p>The application cover sheet must be signed by the highest-level person at the state organization, or their designee. If a designee, the highest-level person at the state organization must execute and submit a Signature Authority form with the Application Package.</p> <p><b>NOTE:</b> The requirement for the creation of an Approval Authority Body does not apply to state organizations.</p>
<b>For which Programs may State Organizations Apply?</b>	<p>State organizations may apply for;</p> <ul style="list-style-type: none"><li>- State Homeland Security Program (SHSP)</li><li>- Urban Areas Security Initiative (UASI)</li></ul>
<b>Use of UASI funding by State Agencies</b>	<p>If a state organization applies for any of the UASI state allocation, the funds must be used to directly support one or more pre-selected urban area(s). The application's UASI project description must describe the project AND identify the urban area(s) that will be supported by the project.</p>
<b>What are the State Priorities for FY 08 HSGP?</b>	<p>While the State Homeland Security Strategy broadly describes goals, objectives and implementation steps, the state's priorities for FY 08 HSGP are:</p> <ol style="list-style-type: none"><li>(1) Interoperable Communications</li><li>(2) Catastrophic Planning</li><li>(3) Medical Surge</li><li>(4) Citizen Preparedness and Participation</li><li>(5) Mass Prophylaxis</li><li>(6) Critical Infrastructure Protection</li><li>(7) Training for First Responders</li></ol>
<b>Project Narrative</b>	<p>In addition to the project description in the Financial Management Forms Workbook, a detailed project narrative is required.</p> <p>Project Narrative is included in Appendix A - Forms</p>

## Section 5- Post Award Requirements

### Post Award Modifications

Post award budget, scope and time modifications must be requested using the **OHS Financial Management Forms Workbook V 1.08**, by the subgrantee's Authorized Agent, and submitted to the subgrantee's Program Representative in the Homeland Security Grant Unit at OHS. Upon approval the subgrantee will be instructed to make the required changes in the Office for Domestic Preparedness (ODP), Grants Reporting Tool (GRT) <https://www.reporting.odp.dhs.gov> . The subgrantee may implement the modifications, and incur associated expenses, **after** receiving **written final approval** of the modification from the State.

**NOTE: Modifications can be requested once per quarter during the grant performance period.** Failure to submit modification requests, and receive written approval prior to expenditure, could result in a reduction or disallowance of that part of the grant.

### Subgrantee Performance Reports

Subgrantees must prepare and submit performance reports to the state for the duration of the grant performance period, or until all grant activities are completed and the grant is formally closed by OHS. Subgrantees must complete a Biannual Strategy Implementation Report (BSIR) using the Office for Domestic Preparedness (ODP), Grants Reporting Tool (GRT) <https://www.reporting.odp.dhs.gov> , and will also be required to submit additional information and data requested by the state.

**Subgrantees who miss a single reporting deadline will receive a letter addressed to their Board of Supervisors informing them of the failure to report. Subgrantees who fail to report twice in a row will have subsequent awards reduced by ten percent (10%) until timely reporting is reestablished.**

### Monitoring Subgrantee Performance

The state is currently conducting a program of sub-grantee monitoring. The monitoring will be conducted on the subgrantees administrative, programmatic and fiscal management of the grant(s).

**These reviews may include, but are not limited to:**

- Eligibility of expenditures
- Comparing actual subgrantee activities to those approved in the subgrant application and subsequent modifications, if any.
- Ensuring that advances have been disbursed in accordance with applicable guidelines.
- Confirming compliance with:
  - Grant Assurances.
  - Information provided on performance reports and payment requests.
  - Needs and threat assessments and strategies.



**Important note:** It is the responsibility of all subgrantees to monitor and audit the grant activities of their subrecipients. This requirement includes, but is not limited, to on site verification of grant activities as required.

#### **Suspension or Termination**

The State may suspend or terminate subgrant funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to expend funds in a timely manner consistent with the grant milestones, guidance and assurances.
- Failing to comply with the requirements or statutory objectives of federal or state law.
- Failing to make satisfactory progress toward the goals or objectives set forth in the subgrant application.
- Failing to follow grant agreement requirements or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failing to submit required reports.
- Filing a false certification in the application or other report or document.
- Failing to adequately manage, monitor or direct the grant funding activities of their subrecipients.

Before taking action, the state will provide the subgrantee reasonable notice of intent to impose corrective measures and will make every effort to resolve the problem informally.

#### **Closeout**

The State will close a subgrantee award after:

- Receiving a subgrantee Performance Report indicating that all approved work has been completed, and all funds have been disbursed;
- Completing a review to confirm the accuracy of reported information; and
- Reconciling actual costs to awards, modifications and payments.

If the closeout review and reconciliation indicates that the subgrantee:

- Is owed additional funds, the state will send the final payment automatically to the subgrantee.
- Did not use all funds received, the state will issue an Invoice or Grant Modification letter to recover unused funds.

In the **Grant Closeout letter**, the state will notify the subgrantee of the start of the record retention period for all programmatic and financial grant related records.

**NOTE:** Failure to maintain all grant records for the required retention period could result in a reduction of eligible grant activities, and an invoice to return costs associated with the unsupported activities.

**Advances and Interest Earned on Advances** The US DHS allows subgrantees to request FY 08 HSGP funds up to 120 days prior to expenditure/disbursement, or on a reimbursement basis. The federal guide requires that advances **must be deposited in interest-bearing accounts**, and describes how interest earned should be returned quarterly to the federal government.

In addition to returning interest in accordance with the prescribed federal guidance, subgrantees must also inform the grantee's Program Representative in the Homeland Security Grant Unit at the Governor's Office of Homeland Security of any interest returned on program funds.

**Payment Request Process** To request advance or reimbursement payment of FY 08 HSGP funds, complete a payment request form using the OHS Financial Management Forms Workbook and return it to the appropriate Program Representative in the Homeland Security Grant Unit at the Governor's Office of Homeland Security.

**OHS Financial Management Forms Workbook V 1.08**

[http://www.ohs.ca.gov/FY2008\\_HSGP.html](http://www.ohs.ca.gov/FY2008_HSGP.html)

**NOTE:** Payments can only be made if the subgrantee has an approved application, valid Governing Body Resolution and valid Grant Assurance form.

**Non-G&T Developed Training Courses** When seeking US DHS approval of non-G&T developed courses, the most notable changes:

- Course materials must be submitted with the approval request; and
- Conditional approvals are no longer offered.

The Office of Homeland Security Training and Exercise and Evaluation Program (HSTEPP) will release additional training related information at a later date.

OHS Training Website:

<http://www.ohs.ca.gov/hseep/TrainingHome.html>

**Authorized Equipment List** The FY 08 Authorized Equipment List (AEL) may now be found on the web at <http://www.rkb.us>.

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## **Appendix A - Forms**

# SAMPLE OF RESOLUTION

NOTE: An application to the Governor's Office of Homeland Security for state or federal grant funds is to include, at a minimum, the following information in a resolution. Applicants have the option of including any additional information.

RESOLUTION NO. \_\_\_\_\_

A RESOLUTION APPROVING AN APPLICATION FOR FUNDING FROM THE

\_\_\_\_\_ AND AUTHORIZING THE EXECUTION  
(name of grant program)

OF A GRANT AWARD AND ANY AMENDMENTS THERETO WITH THE STATE OF  
CALIFORNIA FOR THE PURPOSES OF THIS GRANT.

BE IT RESOLVED by the \_\_\_\_\_ of the  
(governing body)

\_\_\_\_\_ as follows:  
(applicant)

## **SECTION 1:**

The \_\_\_\_\_ has reviewed and hereby approves application for:  
(governing body)

\_\_\_\_\_ for up to \$\_\_\_\_\_.  
(name of grant program) (requested amount)

PROJECT A: \_\_\_\_\_

PROJECT B: \_\_\_\_\_

PROJECT C: \_\_\_\_\_

PROJECT D: \_\_\_\_\_

Add projects if necessary.

**SECTION 2:**

If the grant application is approved, the \_\_\_\_\_ will provide a match of  
(applicant)

\$ \_\_\_\_\_ consistent with the \_\_\_\_\_:  
(match amount) (name of grant program)

SOURCE OF MATCH: \_\_\_\_\_

**SECTION 3:**

Be it resolved that \_\_\_\_\_ or \_\_\_\_\_ or  
(authorized agent name/title) (authorized agent name/title)

\_\_\_\_\_ is hereby authorized and directed to act on the  
(authorized agent name/title)

\_\_\_\_\_ behalf in all matters pertaining to this grant award.  
(applicant's)

PASSED AND ADOPTED at a meeting of the \_\_\_\_\_ of the  
(governing body)

\_\_\_\_\_ held on \_\_\_\_\_  
(applicant) (date)

OFFICIAL ATTESTING TO THIS ACTION:

ATTEST:

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

## Instruction Sheet for the Governing Body Resolution

**Purpose** The purpose of the Governing Body Resolution is to appoint individuals to act behalf of the governing body and the applicant.

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**Authorized Agent(s)** The Governing Body Resolution allows for the appointment of individuals or positions. For each person or position appointed by the governing body, submit the following information, with the resolution, to the state on the applicant's letterhead:

- |  |   |
|--|---|
| <input type="checkbox"/> Jurisdiction  | <input type="checkbox"/> Telephone      |
| <input type="checkbox"/> Grant Program | <input type="checkbox"/> Fax #          |
| <input type="checkbox"/> Name          | <input type="checkbox"/> Cell Phone #   |
| <input type="checkbox"/> Title         | <input type="checkbox"/> E-Mail Address |
| <input type="checkbox"/> Address       |   |
| <input type="checkbox"/> City          |   |
| <input type="checkbox"/> Zip Code      |   |
- 

**Authorized Agent Changes**

- If the Governing Body Resolution identifies Authorized Agents by position and/or title, changes can be made by submitting new Authorized Agent information to the state.
- If the Governing Body Resolution identifies Authorized Agents by name, a new Resolution is needed when any changes are made. The information list above must also be submitted with the new Resolution.

**SAMPLE**  
***Signature Authority***

(For State Organizations)

*AS THE* \_\_\_\_\_  
(Secretary/Director / President / Chancellor)

*OF THE* \_\_\_\_\_  
(Name of State Organization)

I hereby authorize the following individual(s) to execute for and on behalf of the named state organization, any actions necessary for the purpose of obtaining federal financial assistance provided by the federal Department of Homeland Security and sub-granted through the Governor's Office of Homeland Security.

\_\_\_\_\_, *OR*  
(Name or Title of Authorized Agent)

\_\_\_\_\_, *OR*  
(Name or Title of Authorized Agent)

\_\_\_\_\_,  
(Name or Title of Authorized Agent)

Signed and approved this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
**Signature**

**State Agency Project Narrative  
FY 2008 Homeland Security Grant Program**

**Applicant** (state organization)\_\_\_\_\_

*NOTE: Complete a separate Project Description for each proposed project*

**Project Title:**\_\_\_\_\_

**State Strategy Goal and Objective Supported by the Project:** \_\_\_\_\_

**Indicate the State Priority Supported by the Project:**

- ☐ **Interoperable Communications**
- ☐ **Catastrophic Planning**
- ☐ **Medical Surge**
- ☐ **Citizen Preparedness and Participation**
- ☐ **Mass Prophylaxis**
- ☐ **Critical Infrastructure Protection**
- ☐ **Training for First Responders**

*Provide a detailed description of the proposed project and how it supports the state priority indicated.*

*For construction and/or renovation projects, provide the following additional information:*

- A description and location of the facility;
- A description of the vulnerability assessment that has already been conducted of the facility, and the date of the assessment (the assessment does not have to be submitted with the application);
- A description of how the proposed project will address the vulnerabilities identified in the assessment;
- A description of the consequences if the project is not funded under HSGP 08
- **Indicate the requested funding, by program:**
- SHSP \$\_\_\_\_\_ UASI \$\_\_\_\_\_
- **For UASI funding,** indicate the Urban Area(s) supported by the project:\_\_\_\_\_